

FORM PTO-1390 (Modified) U.S. PATENT AND TRADEMARK OFFICE; U.S. DEPARTMENT OF COMMERCE
(REV. 7-2005)

ATTORNEY'S DOCKET NUMBER

281278US0PCT

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371**

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

10/560978INTERNATIONAL APPLICATION NO.
PCT/EP04/51170INTERNATIONAL FILING DATE
18 June 2004PRIORITY DATE CLAIMED
19 June 2003

TITLE OF INVENTION

USE OF PRION CONVERSION MODULATING AGENTS

APPLICANT(S) FOR DO/EO/US

Claudio SOTO-JARA, et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☐ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☒ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A copy of the International Search Report (PCT/ISA/210).

Items 13 to 23 below concern document(s) or information included:

13. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A power of attorney and/or change of address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
20. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
22. ☐ Express Mail Label No.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

U.S. APPLICATION NO (if known, see 37 CFR 1.5) <div style="font-size: 1.5em; font-weight: bold; margin-top: 5px;">10/560978</div>	INTERNATIONAL APPLICATION NO. <div style="font-weight: bold; margin-top: 5px;">PCT/EP04/51170</div>	ATTORNEY'S DOCKET NUMBER <div style="font-weight: bold; margin-top: 5px;">281278US0PCT</div>																																																												
23. Other items or information: Application Data Sheet/Notice of Priority/PCT/IB/304/ PTO-1449/Cited References (44)/Statement of Relevancy/ Partial European Search Report																																																														
The following fees have been submitted:		<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 60%;">CALCULATIONS</th> <th style="width: 40%;">PTO USE</th> </tr> </thead> <tbody> <tr> <td colspan="2" style="padding: 2px;"> 24. <input checked="" type="checkbox"/> Basic national fee \$300 </td> </tr> <tr> <td colspan="2" style="padding: 2px;"> 25. <input checked="" type="checkbox"/> Examination fee (37 CFR 1.492(c)) If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article \$0 All other situations. \$200 </td> </tr> <tr> <td colspan="2" style="padding: 2px;"> 26. <input checked="" type="checkbox"/> Search fee (37 CFR 1.492(b)) If the written opinion of the ISA/US or the International preliminary examination report by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4). . . \$0 Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the as an International Searching Authority. \$100 International Search Report prepared by an ISA other than the US and provided to the previously communicated to the US by the IB. \$400 All other situations. \$500 </td> </tr> <tr> <td colspan="2" style="padding: 2px;"> TOTAL OF 24, 25 and 26 = </td> </tr> <tr> <td colspan="2" style="padding: 2px;"> <input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(j)). The fee is \$250 for each additional 50 sheets of paper or fraction thereof. </td> </tr> <tr> <td colspan="2" style="padding: 2px;"> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 15%;">Total Sheets</th> <th style="width: 15%;">Extra Sheets</th> <th style="width: 30%;">Number of each additional 50 or fraction thereof (round up to a whole)</th> <th style="width: 10%;">RATE</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">- 100 =</td> <td style="text-align: center;">0</td> <td style="text-align: center;">/50 = 0</td> <td style="text-align: center;">x \$250.00</td> </tr> </tbody> </table> </td> </tr> <tr> <td colspan="2" style="padding: 2px;"> Surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)). </td> </tr> <tr> <td colspan="2" style="padding: 2px;"> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 15%;">CLAIMS</th> <th style="width: 15%;">NUMBER FILED</th> <th style="width: 15%;">NUMBER EXTRA</th> <th style="width: 10%;">RATE</th> </tr> </thead> <tbody> <tr> <td>Total claims</td> <td style="text-align: center;">38 - 20 =</td> <td style="text-align: center;">18</td> <td style="text-align: center;">x \$50.00</td> </tr> <tr> <td>Independent claims</td> <td style="text-align: center;">6 - 3 =</td> <td style="text-align: center;">3</td> <td style="text-align: center;">x \$200.00</td> </tr> </tbody> </table> </td> </tr> <tr> <td colspan="2" style="padding: 2px;"> MULTIPLE DEPENDENT CLAIMS (if applicable) <input type="checkbox"/> + \$360.00 </td> </tr> <tr> <td colspan="2" style="padding: 2px;"> TOTAL OF ABOVE CALCULATIONS = </td> </tr> <tr> <td colspan="2" style="padding: 2px;"> <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2. </td> </tr> <tr> <td colspan="2" style="padding: 2px;"> SUBTOTAL = </td> </tr> <tr> <td colspan="2" style="padding: 2px;"> Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)). </td> </tr> <tr> <td colspan="2" style="padding: 2px;"> TOTAL NATIONAL FEE = </td> </tr> <tr> <td colspan="2" style="padding: 2px;"> Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property + </td> </tr> <tr> <td colspan="2" style="padding: 2px;"> TOTAL FEES ENCLOSED = </td> </tr> <tr> <td colspan="2" style="padding: 2px;"> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;">Amount to be</td> <td style="width: 40%;">\$</td> </tr> <tr> <td>Amount to be</td> <td>\$</td> </tr> </table> </td> </tr> </tbody> </table>	CALCULATIONS	PTO USE	24. <input checked="" type="checkbox"/> Basic national fee \$300		25. <input checked="" type="checkbox"/> Examination fee (37 CFR 1.492(c)) If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article \$0 All other situations. \$200		26. <input checked="" type="checkbox"/> Search fee (37 CFR 1.492(b)) If the written opinion of the ISA/US or the International preliminary examination report by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4). . . \$0 Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the as an International Searching Authority. \$100 International Search Report prepared by an ISA other than the US and provided to the previously communicated to the US by the IB. \$400 All other situations. \$500		TOTAL OF 24, 25 and 26 =		<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(j)). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.		<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 15%;">Total Sheets</th> <th style="width: 15%;">Extra Sheets</th> <th style="width: 30%;">Number of each additional 50 or fraction thereof (round up to a whole)</th> <th style="width: 10%;">RATE</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">- 100 =</td> <td style="text-align: center;">0</td> <td style="text-align: center;">/50 = 0</td> <td style="text-align: center;">x \$250.00</td> </tr> </tbody> </table>		Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole)	RATE	- 100 =	0	/50 = 0	x \$250.00	Surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)).		<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 15%;">CLAIMS</th> <th style="width: 15%;">NUMBER FILED</th> <th style="width: 15%;">NUMBER EXTRA</th> <th style="width: 10%;">RATE</th> </tr> </thead> <tbody> <tr> <td>Total claims</td> <td style="text-align: center;">38 - 20 =</td> <td style="text-align: center;">18</td> <td style="text-align: center;">x \$50.00</td> </tr> <tr> <td>Independent claims</td> <td style="text-align: center;">6 - 3 =</td> <td style="text-align: center;">3</td> <td style="text-align: center;">x \$200.00</td> </tr> </tbody> </table>		CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	Total claims	38 - 20 =	18	x \$50.00	Independent claims	6 - 3 =	3	x \$200.00	MULTIPLE DEPENDENT CLAIMS (if applicable) <input type="checkbox"/> + \$360.00		TOTAL OF ABOVE CALCULATIONS =		<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2.		SUBTOTAL =		Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).		TOTAL NATIONAL FEE =		Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property +		TOTAL FEES ENCLOSED =		<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;">Amount to be</td> <td style="width: 40%;">\$</td> </tr> <tr> <td>Amount to be</td> <td>\$</td> </tr> </table>		Amount to be	\$	Amount to be	\$
CALCULATIONS	PTO USE																																																													
24. <input checked="" type="checkbox"/> Basic national fee \$300																																																														
25. <input checked="" type="checkbox"/> Examination fee (37 CFR 1.492(c)) If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article \$0 All other situations. \$200																																																														
26. <input checked="" type="checkbox"/> Search fee (37 CFR 1.492(b)) If the written opinion of the ISA/US or the International preliminary examination report by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4). . . \$0 Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the as an International Searching Authority. \$100 International Search Report prepared by an ISA other than the US and provided to the previously communicated to the US by the IB. \$400 All other situations. \$500																																																														
TOTAL OF 24, 25 and 26 =																																																														
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(j)). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.																																																														
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 15%;">Total Sheets</th> <th style="width: 15%;">Extra Sheets</th> <th style="width: 30%;">Number of each additional 50 or fraction thereof (round up to a whole)</th> <th style="width: 10%;">RATE</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">- 100 =</td> <td style="text-align: center;">0</td> <td style="text-align: center;">/50 = 0</td> <td style="text-align: center;">x \$250.00</td> </tr> </tbody> </table>		Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole)	RATE	- 100 =	0	/50 = 0	x \$250.00																																																					
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole)	RATE																																																											
- 100 =	0	/50 = 0	x \$250.00																																																											
Surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)).																																																														
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 15%;">CLAIMS</th> <th style="width: 15%;">NUMBER FILED</th> <th style="width: 15%;">NUMBER EXTRA</th> <th style="width: 10%;">RATE</th> </tr> </thead> <tbody> <tr> <td>Total claims</td> <td style="text-align: center;">38 - 20 =</td> <td style="text-align: center;">18</td> <td style="text-align: center;">x \$50.00</td> </tr> <tr> <td>Independent claims</td> <td style="text-align: center;">6 - 3 =</td> <td style="text-align: center;">3</td> <td style="text-align: center;">x \$200.00</td> </tr> </tbody> </table>		CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	Total claims	38 - 20 =	18	x \$50.00	Independent claims	6 - 3 =	3	x \$200.00																																																	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE																																																											
Total claims	38 - 20 =	18	x \$50.00																																																											
Independent claims	6 - 3 =	3	x \$200.00																																																											
MULTIPLE DEPENDENT CLAIMS (if applicable) <input type="checkbox"/> + \$360.00																																																														
TOTAL OF ABOVE CALCULATIONS =																																																														
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2.																																																														
SUBTOTAL =																																																														
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).																																																														
TOTAL NATIONAL FEE =																																																														
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property +																																																														
TOTAL FEES ENCLOSED =																																																														
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;">Amount to be</td> <td style="width: 40%;">\$</td> </tr> <tr> <td>Amount to be</td> <td>\$</td> </tr> </table>		Amount to be	\$	Amount to be	\$																																																									
Amount to be	\$																																																													
Amount to be	\$																																																													

10/560978

PTO-1390 (Rev. 07-2005)

Approved for use through 3/31/2007. OMB 0651-0021
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

IP9 Rec'd PCT/PTO 16 DEC 2005

- a. ☐ A check in the amount of \$ _____ to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 15-0030. A duplicate copy of this sheet is enclosed.
- d. ☒ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

Customer Number
22850

SIGNATURE

Norman F. Oblon

NAME

24,618

Corwin P. Umbach, Ph.D.

REGISTRATION NUMBER

Registration No. 40,211

DATE

December 16, 2005

Docket No. 281278US0PCT
IN RE APPLICATION OF: Claudio SOTO-JARA, et al.
SÉRIAL NO: New U.S. PCT Application Based on PCT/EP04/51170
FILED: Herewith
FOR: USE OF PRION CONVERSION MODULATING AGENTS

- COMMISSIONER FOR PATENTS
ALEXANDRIA, VIRGINIA 22313

- SIR:
Transmitted herewith is an amendment in the above-identified application.

- ☒ No additional fee is required
- ☐ Small entity status of this application under 37 C.F.R. §1.9 and §1.27 is claimed.
- ☒ Additional documents filed herewith: Credit Card Payment Form for \$2,530.00/PCT Transmittal Letter/Application Data Sheet/ Notice of Priority/Preliminary Amendment/PCT/IB/304/International Search Report/ Information Disclosure Statement/PTO-1449/Cited References (44)/Statement of Relevancy/Partial European Search Report

The Fee has been calculated as shown below:

CLAIMS	CLAIMS REMAINING		HIGHEST NUMBER PREVIOUSLY PAID	NO. EXTRA CLAIMS	RATE	CALCULATIONS
TOTAL	38	MINUS	38	0	x \$50 =	\$0.00
INDEPENDENT	6	MINUS	6	0	x \$200 =	\$0.00
		<input type="checkbox"/> MULTIPLE DEPENDENT CLAIMS			+ \$360 =	\$0.00
		TOTAL OF ABOVE CALCULATIONS				\$0.00
		<input type="checkbox"/> Reduction by 50% for filing by Small Entity				\$0.00
		<input type="checkbox"/> Recordation of Assignment			+ \$40 =	\$0.00
		TOTAL				\$0.00

- ☐ A check in the amount of \$0.00 is attached.
- ☐ Credit card payment form is attached to cover the fees in the amount of \$0.00
- ☒ Please charge any additional Fees for the papers being filed herewith and for which no check or credit card payment is enclosed herewith, or credit any overpayment to deposit Account No. 15-0030. A duplicate copy of this sheet is enclosed.
- ☒ If these papers are not considered timely filed by the Patent and Trademark Office, then a petition is hereby made under 37 C.F.R. §1.136, and any additional fees required under 37 C.F.R. §1.136 for any necessary extension of time may be charged to Deposit Account No. 15-0030. A duplicate copy of this sheet is enclosed.

OBLON, SPIVAK, McCLELLAND,
MAIER & NEUSTADT, P.C.



Norman F. Oblon

Registration No. 24,618

Corwin P. Umbach, Ph.D.
Registration No. 40,211

Surinder Sachar

Registration No. 34,423

Customer Number

22850

Tel. (703) 413-3000
Fax. (703) 413-2220
(OSMMN 05/03)